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APR 14 2016

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

091-207202  
OMB APPROVAL

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FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New  
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I

Initial Listing Report

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**The NASDAQ Stock Market LLC**
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
**Open End Management Investment Company**
- Class of New Derivative Securities Product:  
**Exchange Traded Fund**
- Name of Underlying Instrument:  
**NASDAQ AlphaDEX Small Cap Growth Index**
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
**Broad-Based**
- Ticker Symbol(s) of New Derivative Securities Product:  
**FYC**
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**NASDAQ, NYSE, NYSE MKT**
- Settlement Methodology of New Derivatives Product:  
**Regular way trades settle on T + 3 (cash settled)**
- Position Limits of New Derivative Securities Product (if applicable):  
**N/A**



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Part II

Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

**William Slattery**

Title:

**Vice President**

Telephone Number:

**1-301-978-8088**

Manual Signature of Official Responsible for Form:

*William Slattery*

Date: **April 11, 2016**

Act Securities Exchange Act of 1934

Section 19b-4

Rule 19b-4(c)

Public

Availability: **APR 14 2016**